UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
08/979,810	11/25/1997	TOSHIYUKI ONO	ASA-689	6236

7590 11/01/2002

FAY SHARPE BEALL FAGAN
MINNICH & MCKEE
104 EAST HUME AVENUE
ALEXANDRAI, VA 22301

EXAMINER
THOMPSON JR, FOREST

ART UNIT	PAPER NUMBER
3625	

DATE MAILED: 11/01/2002

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 08/979,810	Applicant(s) ONO ET AL.	
	Examiner Forest O. Thompson Jr.	Art Unit 3625	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on *20 August 2002* .

2a)☒ This action is **FINAL**. 2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-14 and 29-44* is/are pending in the application.

4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-14 and 29-44* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☐ The drawing(s) filed on _____ is/are: a)☐ accepted or b)☐ objected to by the Examiner.

Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

11)☐ The proposed drawing correction filed on _____ is: a)☐ approved b)☐ disapproved by the Examiner.

If approved, corrected drawings are required in reply to this Office action.

12)☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

13)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

a)☐ All b)☐ Some * c)☐ None of:

1.☐ Certified copies of the priority documents have been received.

2.☐ Certified copies of the priority documents have been received in Application No. _____ .

3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

14)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).

a) ☐ The translation of the foreign language provisional application has been received.

15)☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

1) ☐ Notice of References Cited (PTO-892)
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ .
4) ☐ Interview Summary (PTO-413) Paper No(s). _____ .
5) ☐ Notice of Informal Patent Application (PTO-152)
6) ☐ Other: .

DETAILED ACTION

1. Applicant filed a request for reconsideration (see Paper #30) with arguments directed at examiner's rejection (see Paper #29) of claims 1-14 and 29-44 as presented in amendment E (see Paper #20).

2. This Office Action maintains the rejection (see Paper #29) of the claims as presented in applicant's amendment E filed 04/05/2001 (see Paper #20). This Office Action is responding to applicant's arguments (see Paper #30) which were presented in response to the non-final rejection presented in paper #29.

3. The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action (see Paper No. 2), or will be included here for clarity, as necessary. The text of those sections of Title 35, U.S. Code not otherwise provided in a prior Office action will be included in this action where appropriate.

4. Claims 1-14 and 29-44 have been examined.

Claim Rejections - 35 USC § 103

5. Claims 1-14 and 29-44 were rejected in Paper #29 under 35 U.S.C. 103(a) as being unpatentable over **Talati et al.** (U.S. Patent No. 5,903,878) hereafter referred to as **Talati**, and further in view of **Wiecha** (U.S. Patent No. 5,870,717). Examiner maintains this rejection as indicated below

6. Claims 1-14, 29-35, and 37-44 are rejected in Paper #29 under 35 U.S.C. 103(a) as being unpatentable over **Talati et al.** (U.S. Patent No. 5,903,878) hereafter referred to as **Talati**, and further in view of **Wiecha** (U.S. Patent No. 5,870,717) and Official Notice.

Claim 1: **Talati** discloses:

- transmitting an order for a product in response to an input by a user to said server through a communication network (col. 3 lines 4-21);
- receiving trading information including:
  -- an e-mail address (col. 8 lines 62-67; col. 9 lines 1-11);
  -- a trading identifier associated with said order (col. 3 lines 4-19; col. 6 lines 1-32; col. 7 lines 25-63; col. 8 lines 29-33);
  -- data on the contents of said order (col. 3 lines 12-19); and
  -- storing said trading information when said e-mail address coincides with an address of said server to which said order was transmitted (fig. 12 [331, 335, 340]);
- receiving from said communication network trading processing information including:
  -- an e-mail address (col. 9 lines 45-59);
  -- a present status of processing for processing initiated for said order, as disclosed by Talati through the functionality of:

--- (col. 11 lines 38-51) *there is illustrated an exchange of information between an*

originator 50 and a recipient 55 using an e-mail delivery system 305. Information is synonymous with document, software, classified data, transaction data or a database query and responses. The invention provides a method to securely exchange and process information between originator 50 and recipient 55, where an originator and recipient can be client or server on the Internet/Intranet or private network.

--- (col. 11 lines 51-65) *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.*

--- (col. 11 line 66 – col. 12 line 8) *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a*

negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445. The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.

--- (col. 5 line 50 - col. 6 line 60) verifying and validating various steps of transactions;

--- (col. 8 line 62 - col. 9 line 11) *A format of an e-mail record 330 is more fully described in FIG. 12 wherein there is shown an e-mail record 330 including the unique transaction identifier or message id 331; a mail type identification 335 indicating whether the record is to be transmitted, was just received, has already been transmitted, or comprise a transaction e-mail; the recipient's address 340; the subject matter of the e-mail 345; and the contents of the e-mail 348. For simplicity, the mail type identification 335 identifies the state of the e-mail record as it relates to the state of the e-mail delivery system 305. For example, when a user creates an e-mail record, the ECS 300 deposits this e-mail record into the mailbox database 315 with mail "type" equal to 1 indicating that the e-mail record is ready to be delivered to the recipients. The recipient address 340, subject matter 345 and contents 348 provide routing and content information to the e-mail delivery system 305.*

--- (col. 3 lines 4-59):

---- *A validated transaction is a transaction in which the TA validates the entities, facilitates the transaction and/or validates the contents of the transaction by the originator. In a validated electronic commerce transaction, either the client, merchant or transaction administrator can initiate the transaction. In a purchase transaction, the client initiates a transaction requesting particular items of merchandise or services from a merchant via the Internet, a dial-up-network, or any suitable network. The electronic transaction includes details of the transaction such as descriptions of the item(s) that the client desires to purchase, credit card or check payment information, information on other types of payment by means of which the item(s) will be purchased, and a unique transaction identifier that has been generated by the originator and is uniquely associated with the particular purchase transaction.*

---- *This information is transmitted to the merchant over the network. In response to the purchase order, the merchant generates a payment authorization request for transmission to the TA. The payment authorization request will have attached to it the unique transaction identifier initially provided by the client along with transaction information. Upon receipt of the payment authorization request the TA will validate the client and the merchant using the information provided. The TA then generates a validation request to the client that includes the unique transaction identifier. This communication between the TA and the client may be encrypted using a suitable encryption method or a set of virtual keys known only to the TA and each individual purchaser.*

---- *Upon receipt of the validation request, the client decodes, if necessary, the encrypted validation request and extracts the unique transaction identifier therefrom. The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the client authorized the transaction order with which the transaction identifier is associated. Confirmation or denial of the validation is transmitted back to the TA by the originator. This confirmation may be encrypted using a suitable encryption method, if necessary.. To provide additional security, a query or group of queries may be included within the validation requests between the TA and the originator. These queries are randomly generated and directed to information known solely by the originator, such as mother's maiden name, social security number, driver's license number, birth date, etc.*

---- *Upon receipt of validation or non-validation from the originator, the TA confirms or aborts the transaction by notifying the recipient whether or not the transaction is valid based upon the originator's validation response and the accuracy of the information contained in the transaction request. If the information in the transaction request checks out, the item(s) ordered may be delivered to the originator by the recipient. The delivery and communication systems between the client, merchant and TA preferably consists of some type of computer network such as the Internet, private Intranet or any suitable network.*

-- a present status of processing for delivery of said product corresponding to said order, as disclosed by the functionality of Talati in:

--- (col. 1 lines 55-67) *The delivery system between the client 10 and the merchant 20 can be a regular mail system, telephone system, computer network or any other delivery system like UPS or Federal Express. The delivery system between the client 10 and the merchant 20 must also have some tracking capability. The delivery system between the merchant 20 and the CCA 30 is typically a private network providing Point-Of-Sale (POS) processing. All necessary information is transferred between two or more points in this network with a tracking mechanism that can follow the transactions. All of the above steps can also be executed within electronic commerce transactions;*

--- *(col. 6 lines 33-43) The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

--- (col. 11 lines 38-51) *there is illustrated an exchange of information between an originator 50 and a recipient 55 using an e-mail delivery system 305.*

Information is synonymous with document, software, classified data, transaction data or a database query and responses. The invention provides a method to securely exchange and process information between originator 50 and recipient 55, where an originator and recipient can be client or server on the Internet/Intranet or private network.

--- (col. 11 lines 51-65) *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.*

--- (col. 11 line 66 – col. 12 line 8) *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445.*

The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.

--- (col. 12 line 9-19) *The originator and the recipient then completes the information transaction at 455. For example, if recipient receives a positive acknowledgment for transaction, it accepts the information. Since the OID is authenticated by the TA 60, the recipient 55 is guaranteed that the information is received from the desired originator. In this example, since the originator 50 has validated the transaction and information, the originator is guaranteed that recipient 55 has received the information. The transaction administrator 60 may be any entity, such as a Government authority, U.S. Post Office, etc.*

-- a present status of processing for payment processing for said trading, as disclosed by the functionality of Talati in:

--- (col. 6 lines 1-24) *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client*

processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

--- (col. 6 lines 33-43) *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

--- (col. 6 lines 1-24; col. 7 lines 25-63):

---- *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized*

at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

---- *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon*

confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.

--- (see col. 9 lines 32-44) *In the case of an electronic check transaction, the mail contents 348 of the e-mail may comprise a number of items, depending on who the e-mail is from, and the data required to be extracted by the e-mail control system 300 of the receiving party. A transaction request from the originator 50 may include an account number, amount of the transaction, account reference, transaction reference, and originator's personal information. A response from a recipient 55 may include account number information, account references, transaction references, and recipient's personal information. An e-mail message from the transaction administrator 60 may contain query information for the originator to obtain validation.*

-- the trading identifier (col. 3 lines 4-19; col. 6 lines 1-32; col. 7 lines 25-63); and

- comparing said trading identifier and said e-mail address included in said trading information with said trading identifier included in said trading processing information, as disclosed by Talati in the disclosure:

-- (col. 3 lines 20-48) *The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the client authorized the transaction order with which the transaction identifier is associated.*

-- (col. 2 lines 51-55) *The present invention overcomes the foregoing and other problems with a method and apparatus enabling verification and validation of original "electronic commerce transactions" between one or more originators, recipients, and transaction administrators (TA).*

-- (col. 4 lines 52-6) The transaction request includes a unique transaction identifier (UTID) associated with the specific transaction request and originator identity (OID) to identify the originator 50 to a transaction administrator 60

-- (col. 4 line 66 – col. 5 line 32)

--- *Recipient 55 first reviews the transaction request using a processor 75 and generates a request for authentication of the originator 50 using the OID, UTID and the information content of the transaction request such as an amount or document name at step 80 to the transaction administrator. The transaction administrator 60 first validates the identity of recipient 55 and then the OID at step 85. If the OID is invalid, the transaction administrator 60 notifies the recipient 55 of the invalidity and the transaction is denied. If the OID is valid, the transaction administrator 60 determines the originator associated with the OID, transmits the transaction request and associated data to the originator 50 and requests that the originator validate the transaction request containing the UTID at step 90. The transaction administrator 60 may also validate transaction amounts and credit limits at this time or upon receiving a response for the originator 50.*

--- *The originator 50 validates the transaction by comparing at step 95 the UTID with a list 100 generated by the processor 70 of the originator listing the UTID associated with each transaction generated by the originator and notifying the transaction administrator 60 of the results. The list 100 also includes the details of the transaction (amount; parties, etc.) associated with the UTID which must also be validated by the originator 50. The transaction is granted or rejected by the transaction administrator 60 based on the comparison results at step 105. If the originator 50 does not validate the transaction at step 95, the transaction administrator 60 rejects the transaction at step 110 which invalidates the transaction. The originator is notified at step 115 of the invalidation of the transaction. Upon receipt of the transaction validation status from the originator 50, the transaction administrator 60 validates the originator 50 and the transaction request at step 120, and notifies the recipient 55. The originator 50 and recipient 55 then complete the transaction at step 125.*

-- (col. 11 line 51 – col. 12 line 8):

--- *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message*

can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.

--- The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445. The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.

Talati does not specifically disclose adding said trading processing information to said trading information stored in said storage device if they are coincident. Official Notice is taken that it was old and well known that data could be added to a database or modified in a database as necessary or desired by the user. Also, **Wiecha** discloses:

- adding, deleting and editing trading processing information to trading information stored in said storage device (col. 9 lines 1-11); and

- *Purchaser can update status of PO manually after receiving acknowledgements, status updates, etc. from vendors via fax, phone, or mail. Changes to the PO can then be saved to the DB2/2 database on the Purchasing Server* (col. 9 lines 59-63).

Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify **Talati** to disclose a present status of processing for processing initiated for said order, and adding said trading processing information to said trading information stored in said storage device if they are coincident, as disclosed by **Wiecha** and old and well known art, because this could provide useful and desirable information to users who track their transactions and provide additional functionality to the database.

Claim 2: **Talati** discloses comparing said data on the contents of said order included in said trading information with:

- said present status of processing (col. 2 lines 51-55; col. 4 lines 66-67; col. 5 lines 1-67; col. 6 lines 1-43), as disclosed through the functionality of Talati in the disclosures:

-- (col. 2 lines 51-55) *The present invention overcomes the foregoing and other problems with a method and apparatus enabling verification and validation of original "electronic commerce transactions" between one or more originators, recipients, and transaction administrators (TA).*

-- (col. 3 lines 34-39) *Upon receipt of the validation request, the client decodes, if necessary, the encrypted validation request and extracts the unique transaction identifier therefrom. The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the client authorized the transaction order with which the transaction identifier is associated.*

-- (col. 5 lines 15-19) *The originator 50 validates the transaction by comparing at step 95 the UTID with a list 100 generated by the processor 70 of the originator listing the UTID associated with each transaction generated by the originator and notifying the transaction administrator 60 of the results.*

-- (col. 6 lines 12-18) *The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction.*

- said present status of processing for delivery (col. 2 lines 51-55; col. 4 lines 66-67; col. 5 lines 1-67; col. 6 lines 1-43), as disclosed through the functionality of Talati in the disclosures:

-- (col. 6 lines 12-18) The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction.

; and

- said present status of processing for the payment processing (col. 2 lines 51-55; col. 4 lines 66-67; col. 5 lines 1-67; col. 6 lines 1-43); and

- outputting a warning message (col. 3 lines 49-54).

Claim 3: **Talati** discloses:

- sending to said server a transmission request for trading processing information including the trading identifier (col. 3 lines 3-19).

Claim 4: **Talati** discloses transmitting:

- a time at which said trading processing information is to be received (col. 10 lines 16-29); and
- a request for said processing information (col. 10 lines 16-29).

Claim 5: **Talati** does not specifically disclose said present status of processing includes a delivery completed date for the product; a scheduled delivery date for said product; nor a payment completed date or scheduled payment date. Official Notice is taken that a present status of processing for purchase and delivery of products purchased by buyers is normally provided upon request of the buyer and may include any or all of: a delivery completed date for the product; a scheduled delivery date for said product; and a payment completed date or scheduled payment date. Buyers typically request the present status of their orders and when delivery will be completed. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify **Talati** to disclose said present status of processing includes a delivery completed date for the product; a scheduled delivery date for said product; nor a payment completed date or scheduled payment date, as disclosed by **Wiecha** with old

and well known art, because this provides information that sellers and buyers typically want pertaining to purchases.

Claim 6: Neither **Talati** nor **Wiecha** specifically discloses displaying trading for which delivery has been completed separately from trading for which delivery has not been completed; nor displaying trading which have been settled separately from trading which have not been settled. However, Official Notice is taken that it was old and well known in the art at the time the invention was made that information in a database may be displayed as required or desired by a buyer or user. Information in a database may be manipulated as desired by the database user. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify **Talati** and **Wiecha** to disclose displaying trading for which delivery has been completed separately from trading for which delivery has not been completed, and displaying trading which have been settled separately from trading which have not been settled, as disclosed by old and well known art, because this provides information that seller and buyers want pertaining to purchases.

Claim 7: Neither **Talati** nor **Wiecha** specifically discloses calculating a total amount of money for products which have not been settled; nor displaying the calculated total amount of money. However, Official Notice is taken that *calculating a total amount of money for products which have not been settled* and *displaying the calculated total amount of money* was old and well known in the art at the time the invention was made.

These are typical functions associated with merchant billing practices in merchant locations and at Internet merchant sites, including informing a buyer of the amount for items/products that he currently is ordering. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify the disclosures of **Talati** and **Wiecha** to disclose calculating a total amount of money for products which have not been settled, and displaying the calculated total amount of money, as disclosed by old and well known art with, because this supports seller functions for making sales and informs buyers of the amount/value for their proposed purchases.

Claim 8: **Talati** discloses:

- comparing said total amount of money with a predetermined limit amount (col. 5 lines 12-14); and
- outputting a warning if said total amount of money for the products which have not been settled exceeds aid limit amount (col. 5 lines 15-33).

Claim 9: Neither **Talati** nor **Wiecha** specifically discloses inputting information on a product to be returned nor transmitting said information to said server. Official Notice is taken that inputting information and transmitting information were old and well known in the art at the time the invention was made. Additionally, Talati discloses transmitting information by a client in connection with a transaction. Also, Official Notice is taken that it would have been obvious to one skilled in the art at the time the transaction was made to provide a capability for the return of defective or unwanted merchandise as this

is a common problem in most merchandising systems and retail systems. Typically, merchants provide a means to accommodate buyers who want to return defective or unwanted merchandise in order to maintain customer satisfaction. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to modify **Talati** and **Wiecha** to disclose inputting information on a product to be returned and transmitting said information to said server, as disclosed by old and well known art, because this provides desired customer service functions to the system.

Claim 10: Neither **Talati** nor **Wiecha** specifically disclose displaying said trading information to select a portion of information; creating new order information by modifying said selected information; nor transmitting said new order information to said server. However, Official Notice is taken that it was old and well known in the art at the time the invention was made that computer systems included operating system software that facilitated cut and paste operations with data to copy or transfer data between applications and /or files or documents. Additionally, Official Notice is taken that it was old and well known in the art at the time the invention was made that users could create new documents by editing old files/documents, making changes, and saving the revised file/document as a new file, such as a new order. It would have been obvious to one skilled in the art at the time the invention was made to modify with **Talati** and **Wiecha** to disclose displaying said trading information to select a portion of information; creating new order information by modifying said selected information; and transmitting said new

order information to said server, as disclosed by old and well known art, because this facilitates users generating new orders from stored files of previous orders.

Claim 11: **Talati** discloses:

- said server includes:
  - -- a shopping server (col. 4 lines 63-65);
  - -- a payment managing server (col. 4 lines 63-65); and
  - -- a delivery managing server (col. 4 lines 63-65);
- receiving said present status of processing for the processing for said order from said shopping server (col. 6 lines 1-24);
- receiving said present status of processing for said payment processing for trading from said payment managing server (col. 6 lines 1-43);
- receiving said present status of processing for the processing for said delivery from said delivery managing server (col. 6 lines 1-60);

Claim 12: **Talati** discloses sending to said shopping server a transmission request for order processing information including a trading identifier (col. 6 lines 1-60).

Claim 13: **Talati** discloses sending to said payment managing server a transmission request for payment managing processing information including the trading identifier (col. 6 lines 1-60).

Claim 14: **Talati** discloses sending to said delivery managing server a transmission request for delivery managing processing information including the trading identifier (col. 6 lines 1-60).

Claim 29: **Talati** discloses repeating:

- said step of receiving trading processing information (col. 3 lines 20-48); and
- said step of comparing (col. 3 lines 20-48).

Claim 30: **Talati** discloses:

- receiving an order for a product in response to an input by a user through a communication network (col. 3 lines 4-33);
- performing order acceptance processing for said product (col. 3 lines 20-33);
- transmitting to said client trading information including a trading identifier and data on the contents of said order (col. 3 lines 20-33);
- storing said trading information and an e-mail address (col. 8 lines 62-67; col. 9 lines 1-11; fig. 12 [331, 335, 340);
- creating trading processing information including:
  - a present status of processing for processing initiated for said order, as disclosed by Talati through the functionality of:
    - (col. 11 lines 38-51) *there is illustrated an exchange of information between an originator 50 and a recipient 55 using an e-mail delivery system 305. Information is synonymous with document, software, classified data, transaction*

data or a database query and responses. The invention provides a method to securely exchange and process information between originator 50 and recipient 55, where an originator and recipient can be client or server on the Internet/Intranet or private network.

--- (col. 11 lines 51-65) *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.*

--- (col. 11 line 66 – col. 12 line 8) *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445.*

The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.

--- (col. 5 line 50 - col. 6 line 60) verifying and validating various steps of transactions;

--- (col. 8 line 62 - col. 9 line 11) *A format of an e-mail record 330 is more fully described in FIG. 12 wherein there is shown an e-mail record 330 including the unique transaction identifier or message id 331; a mail type identification 335 indicating whether the record is to be transmitted, was just received, has already been transmitted, or comprise a transaction e-mail; the recipient's address 340; the subject matter of the e-mail 345; and the contents of the e-mail 348. For simplicity, the mail type identification 335 identifies the state of the e-mail record as it relates to the state of the e-mail delivery system 305. For example, when a user creates an e-mail record, the ECS 300 deposits this e-mail record into the mailbox database 315 with mail "type" equal to 1 indicating that the e-mail record is ready to be delivered to the recipients. The recipient address 340, subject matter 345 and contents 348 provide routing and content information to the e-mail delivery system 305.*

--- (col. 3 lines 4-59):

---- *A validated transaction is a transaction in which the TA validates the entities, facilitates the transaction and/or validates the contents of the transaction by the originator. In a validated electronic commerce transaction, either the client, merchant or transaction administrator can initiate the*

transaction. In a purchase transaction, the client initiates a transaction requesting particular items of merchandise or services from a merchant via the Internet, a dial-up-network, or any suitable network. The electronic transaction includes details of the transaction such as descriptions of the item(s) that the client desires to purchase, credit card or check payment information, information on other types of payment by means of which the item(s) will be purchased, and a unique transaction identifier that has been generated by the originator and is uniquely associated with the particular purchase transaction.

---- *This information is transmitted to the merchant over the network. In response to the purchase order, the merchant generates a payment authorization request for transmission to the TA. The payment authorization request will have attached to it the unique transaction identifier initially provided by the client along with transaction information. Upon receipt of the payment authorization request the TA will validate the client and the merchant using the information provided. The TA then generates a validation request to the client that includes the unique transaction identifier. This communication between the TA and the client may be encrypted using a suitable encryption method or a set of virtual keys known only to the TA and each individual purchaser.*

---- *Upon receipt of the validation request, the client decodes, if necessary, the encrypted validation request and extracts the unique transaction identifier therefrom. The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the client authorized the*

transaction order with which the transaction identifier is associated. Confirmation or denial of the validation is transmitted back to the TA by the originator. This confirmation may be encrypted using a suitable encryption method, if necessary. To provide additional security, a query or group of queries may be included within the validation requests between the TA and the originator. These queries are randomly generated and directed to information known solely by the originator, such as mother's maiden name, social security number, driver's license number, birth date, etc.

---- *Upon receipt of validation or non-validation from the originator, the TA confirms or aborts the transaction by notifying the recipient whether or not the transaction is valid based upon the originator's validation response and the accuracy of the information contained in the transaction request. If the information in the transaction request checks out, the item(s) ordered may be delivered to the originator by the recipient. The delivery and communication systems between the client, merchant and TA preferably consists of some type of computer network such as the Internet, private Intranet or any suitable network.*

-- a present status of processing for delivery of said product corresponding to said order, as disclosed by the functionality of Talati in:

--- (col. 1 lines 55-67) *The delivery system between the client 10 and the merchant 20 can be a regular mail system, telephone system, computer network or any other delivery system like UPS or Federal Express. The delivery*

system between the client 10 and the merchant 20 must also have some tracking capability. The delivery system between the merchant 20 and the CCA 30 is typically a private network providing Point-Of-Sale (POS) processing. All necessary information is transferred between two or more points in this network with a tracking mechanism that can follow the transactions. All of the above steps can also be executed within electronic commerce transactions;

--- *(col. 6 lines 33-43) The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

--- (col. 11 lines 38-51) *there is illustrated an exchange of information between an originator 50 and a recipient 55 using an e-mail delivery system 305. Information is synonymous with document, software, classified data, transaction data or a database query and responses. The invention provides a method to securely exchange and process information between originator 50 and recipient 55, where an originator and recipient can be client or server on the Internet/Intranet or private network.*

--- (col. 11 lines 51-65) *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.*

--- (col. 11 line 66 – col. 12 line 8) *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445. The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.*

--- (col. 12 line 9-19) *The originator and the recipient then completes the information transaction at 455. For example, if recipient receives a positive acknowledgment for transaction, it accepts the information. Since the OID is*

authenticated by the TA 60, the recipient 55 is guaranteed that the information is received from the desired originator. In this example, since the originator 50 has validated the transaction and information, the originator is guaranteed that recipient 55 has received the information. The transaction administrator 60 may be any entity, such as a Government authority, U.S. Post Office, etc.

-- a present status of processing for payment processing for said trading, as disclosed by the functionality of Talati in:

--- (col. 6 lines 1-24) *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then*

forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

--- (col. 6 lines 33-43) *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

--- (col. 6 lines 1-24; col. 7 lines 25-63):

---- *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from*

the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

---- *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

--- (see col. 9 lines 32-44) *In the case of an electronic check transaction, the mail contents 348 of the e-mail may comprise a number of items,*

depending on who the e-mail is from, and the data required to be extracted by the e-mail control system 300 of the receiving party. A transaction request from the originator 50 may include an account number, amount of the transaction, account reference, transaction reference, and originator's personal information. A response from a recipient 55 may include account number information, account references, transaction references, and recipient's personal information. An e-mail message from the transaction administrator 60 may contain query information for the originator to obtain validation.

-- the trading identifier (col. 3 lines 4-19; col. 6 lines 1-32; col. 7 lines 25-63; col. 8 lines 29-33); and

- obtaining an e-mail address of a client (col. 8 lines 62-67; col. 9 lines 1-11); and
- transmitting said trading processing information to said client (col. 3 lines 20-33).

Talati does not explicitly disclose managing the present status of processing until the order processing, the delivery and the payment processing are completed. Talati does disclose verifying and validating various steps of transactions (col. 5 lines 50-67; col. 6 lines 1-60). Official Notice is taken that it was old and well known that data could be added to a database or modified in a database as necessary or desired by the user. Additionally, Wiecha discloses *Purchaser can update status of PO manually after receiving acknowledgements, status updates, etc. from vendors via fax, phone, or mail. Changes to the PO can then be saved to the DB2/2 database on the Purchasing Server* (col. 9 lines 59-63). Therefore, it would have been obvious to one skilled in the art at

the time the invention was made to modify Talati to disclose managing the present status of processing until the order processing, the delivery and the payment processing are completed, as disclosed by Wiecha, because this provides functionality that users desire in reviewing and managing their requested processing (i.e., purchases).

Claim 31: **Talati** discloses repeating until an end of said trading:

- creating said trading processing information (col. 11 lines 38-67; col. 12 lines 1-19; col. 6 lines 25-43; col. 6 lines 1-32);
- obtaining said e-mail address (col. 8 lines 62-67; col. 9 lines 1-11); and
- transmitting said trading processing information until an end of said trading (col. 3 lines 20-33).

Claim 32: **Talati** discloses:

- based on a trading identifier, searching for the present status of processing to create trading processing information (col. 10 lines 41-67; col. 11 lines 37); and
- transmitting said trading processing information to said client (col. 3 lines 20-33).

Claim 33: Claim 33 is written as a server and contains the same limitations as claim 30; therefore, the same rejection is applied.

Claim 34: Claim 34 is written as a storage medium and contains the same limitations as claim 32; therefore, the same rejection is applied.

Claim 35: Claim 35 is written as a server and contains the same limitations as claim 30; therefore, the same rejection is applied.

Claim 37: Claim 37 is written as a server and contains the same limitations as claim 30; therefore, the same rejection is applied.

Claim 38: Claim 38 is written as a client and contains the same limitations as claim 2; therefore, the same rejection is applied.

Claim 39: Claim 39 is written as a client and contains the same limitations as claim 3; therefore, the same rejection is applied.

Claim 40: Claim 40 is written as a client and contains the same limitations as claim 4; therefore, the same rejection is applied.

Claim 41: Claim 41 is written as a client and contains the same limitations as claim 11; therefore, the same rejection is applied.

Claim 42: Neither **Talati** nor **Wiecha** disclose a reordering device. **Talati** does disclose storing said trading information and an e-mail address (col. 8 lines 62-67; col. 9 lines 1-11; fig. 12 [331, 335, 340). Official notice is taken that it was old and well known in the art at the time the invention was made that data in a database could be used more than once (i.e., reused) in output reports (e.g., purchase orders) generated from the database, and that reports could be generated using the same data (duplicated) or a combination of the same data and additional data from the database. This is one reason that databases are used. Also, Official Notice is taken that it was old and well

known in the art at the time the invention was made that many businesses generate and process orders for goods and services that are repeated over time. Businesses maintain stock levels in their inventory, and re-order periodically to replenish depleted stock levels or replace exhausted stock or renew performance agreements. It would have been obvious to one skilled in the art at the time the invention was made to modify the disclosures of **Talati** and **Wiecha** to disclose a reordering device, as disclosed in old and well known art, because businesses must maintain stock levels or renew performance agreements in order to stay in business, and reordering goods based on prior orders in combination with goods usage (or sales) simplifies the reorder process.

Claim 43: Claim 43 is written as a server and contains the same limitations as claim 30; therefore, the same rejection is applied.

Claim 44: Claim 44 is written as a client and contains the same limitations as claim 2; therefore, the same rejection is applied.

7. Claim 36 is rejected in Paper #29 under 35 U.S.C. 103(a) as being unpatentable over **Talati et al.** (U.S. Patent No. 5,903,878) hereafter referred to as **Talati**, and further in view of **Wiecha** (U.S. Patent No. 5,870,717).

Claim 36: **Talati** discloses a storage medium comprising storage components having a code sequence for:

- receiving an order (col. 11 lines 60-67; col. 12 lines 1-19);
- performing order acceptance processing (col. 11 lines 60-67; col. 12 lines 1-19);
- transmitting to said client trading information (col. 3 lines 20-33);
- transmitting to said client a present status of processing (col. 11 lines 60-67; col. 12 lines 1-19), as disclosed by Talati through the functionality of:

--- *there is illustrated an exchange of information between an originator 50 and a recipient 55 using an e-mail delivery system 305. Information is synonymous with document, software, classified data, transaction data or a database query and responses. The invention provides a method to securely exchange and process information between originator 50 and recipient 55, where an originator and recipient can be client or server on the Internet/Intranet or private network.*

--- *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the TA 60 requests*

originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.

--- *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445. The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.*

- transmitting a request for delivery of said product to a delivery managing server (col. 6 lines 40-56), as disclosed by Talati through the functionality of:

--- *The delivery system between the client 10 and the merchant 20 can be a regular mail system, telephone system, computer network or any other delivery system like UPS or Federal Express. The delivery system between the client 10 and the merchant 20 must also have some tracking capability. The delivery system between the merchant 20 and the CCA 30 is typically a private network providing Point-Of-Sale (POS) processing. All necessary information is transferred between two or more points in this network with a tracking mechanism that can follow the transactions. All of the above steps can also be executed within electronic commerce transactions;*

--- *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

- transmitting a request for payment processing for said trading to a payment managing server (col. 6 lines 1-24), as disclosed by Talati through the functionality of:

--- *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique*

transaction identifier to a unique transaction identifier list 100 of identifiers transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

--- The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.

Response to Arguments

8. Applicant's arguments filed 08/20/2002 have been fully considered but they are not persuasive. This Office Action is responding to applicant's arguments. Prior art used in the above rejection includes:

- Talati (U.S. Patent No. 5903878) which discloses a method for providing validated electronic commerce transactions; and

- Wiecha (U.S. Patent No. 5870717) discloses the system enables an employee who needs an item which must be ordered from a supplier to select the item from an electronic catalog displayed on a personal computer and submit an order for approval and processing directly, by-passing both the normal paper approvals and the manual verification of the order by the organization's Purchasing department.

Talati and Wiecha are prior art to the application of applicant that are both classified in the business art under 705/26. Examiner maintains that both are compatible art that present features/aspects that are complementary. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to combine these prior art references to disclose applicant's invention.

Applicants argue, on pg. 1-3,:

- *that Talati merely discloses transaction processing and authentication that is decided at the time of ordering a product, not afterward when present status information would be exchanged. In this respect, in Talati, there is an exchange of information between an originator 50 and a recipient 55 using an e-mail delivery system 305 (col. 11, lines 37-40 of Talati). The "delivery" referred to is the e-mail delivery system that is set forth by Talati with respect to the exchange of the information between the originator and recipient. On the other hand, Applicants' claimed invention*

includes transmitting or managing present status of processing for delivery of a product corresponding to an order, which necessarily occurs after the order processing.

- *The Examiner refers to Talati's e-mail system and further cites the disclosure by Talati that the e-mail delivery system provides a traceable delivery system. Further, as noted by the Examiner, Talati states that the e-mail delivery system may also be used to process complex transactions and safely share information between multiple entities (citing col. 8-, lines 21-25 of the reference). From this cited passage of Talati, the Examiner concludes that the reference discloses the processing of the present status of the delivery of the product corresponding to an order (see page 33, lines 17-20 of the May 20, 2002 Office Action). This conclusion is not supported by the reference, however.*

- *Rather, one having ordinary skill in the art would view the disclosure of Talati as being silent in its disclosure with respect to disclosing the receiving or managing of present status of processing for processing initiated for an order including the present status of processing for delivery of the product corresponding to the order and present status of processing for payment for the trading. Therefore, at issue is whether one having ordinary skill in the art would find the differences between the invention as claimed and Talati obvious at the time of the invention.*

Examiner disagrees. Talati does disclose the receiving and managing of present status of processing for processing initiated for an order including the present status, as claimed by applicant, in the following disclosures:

- (col. 5 line 50 - col. 6 line 60) verifying and validating various steps of transactions;

- (col. 8 line 62 - col. 9 line 11) *A format of an e-mail record 330 is more fully described in FIG. 12 wherein there is shown an e-mail record 330 including the unique transaction identifier or message id 331; a mail type identification 335 indicating whether the record is to be transmitted, was just received, has already been transmitted, or comprise a transaction e-mail; the recipient's address 340; the subject matter of the e-mail 345; and the contents of the e-mail 348. For simplicity, the mail type identification 335 identifies the state of the e-mail record as it relates to the state of the e-mail delivery system 305. For example, when a user creates an e-mail record, the ECS 300 deposits this e-mail record into the mailbox database 315 with mail "type" equal to 1 indicating that the e-mail record is ready to be delivered to the recipients. The recipient address 340, subject matter 345 and contents 348 provide routing and content information to the e-mail delivery system 305.*

- (col. 3 lines 4-59):

-- *A validated transaction is a transaction in which the TA validates the entities, facilitates the transaction and/or validates the contents of the transaction by the originator. In a validated electronic commerce transaction, either the client, merchant or transaction administrator can initiate the transaction. In a purchase transaction, the client initiates a transaction requesting particular items of merchandise or services from a merchant via the Internet, a dial-up-network, or any suitable network. The electronic transaction includes details of the transaction such as descriptions of the item(s) that*

the client desires to purchase, credit card or check payment information, information on other types of payment by means of which the item(s) will be purchased, and a unique transaction identifier that has been generated by the originator and is uniquely associated with the particular purchase transaction.

-- *This information is transmitted to the merchant over the network. In response to the purchase order, the merchant generates a payment authorization request for transmission to the TA. The payment authorization request will have attached to it the unique transaction identifier initially provided by the client along with transaction information. Upon receipt of the payment authorization request the TA will validate the client and the merchant using the information provided. The TA then generates a validation request to the client that includes the unique transaction identifier. This communication between the TA and the client may be encrypted using a suitable encryption method or a set of virtual keys known only to the TA and each individual purchaser.*

-- *Upon receipt of the validation request, the client decodes, if necessary, the encrypted validation request and extracts the unique transaction identifier therefrom. The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the client authorized the transaction order with which the transaction identifier is associated. Confirmation or denial of the validation is transmitted back to the TA by the originator. This confirmation may be encrypted using a suitable encryption method, if necessary. To provide additional security, a query or group of queries may be included within the validation requests between the TA and the*

originator. These queries are randomly generated and directed to information known solely by the originator, such as mother's maiden name, social security number, driver's license number, birth date, etc.

-- *Upon receipt of validation or non-validation from the originator, the TA confirms or aborts the transaction by notifying the recipient whether or not the transaction is valid based upon the originator's validation response and the accuracy of the information contained in the transaction request. If the information in the transaction request checks out, the item(s) ordered may be delivered to the originator by the recipient. The delivery and communication systems between the client, merchant and TA preferably consists of some type of computer network such as the Internet, private Intranet or any suitable network.*

Additionally, Wiecha discloses *Purchaser can update status of PO manually after receiving acknowledgements, status updates, etc. from vendors via fax, phone, or mail. Changes to the PO can then be saved to the DB2/2 database on the Purchasing Server* (col. 9 lines 59-63)

Therefore, examiner maintains the rejection.

Applicants argue, on pg. 4, *With respect to the delivery system disclosed by Talati, the Examiner refers to the Description of Related Art section of the patent that refers to Fig. 1. The commercial transaction flow chart shown in the figure merely sets forth the entities of a client 10, merchant 20 and payment authority 30. The delivery system is disclosed as having some tracking capability. However, Fig. 1 is not a figure*

of the invention disclosed by Talati, but rather a description of the background art related to the invention. Therefore, there is no correspondence between the "delivery" described with respect to Fig. 1 (referring to col. 1, lines 56-65 of the reference) by Talati and the description provided in col. 8, lines 21-25 of the reference which the Examiner cites as describing the claimed present status of processing for delivery of the product. Accordingly, Applicants maintain their position that Talati fails to describe the claimed receiving or managing of information including a present status of processing for delivery of a product corresponding to an order.

Examiner disagrees. The disclosure of Talati includes descriptions of prior art. This does not relegate the prior art descriptions as inappropriate or unusable in the rejection. The referenced information is disclosed, and is identified as pertaining to old and well known art in Talati, predating the patent of Talati. The disclosure in fig. 1 and its description pertain to a general concept of on-line transaction processing that is related art to the invention of Talati, and the invention of applicant. Talati describes fig. 1 as a *common set-up for commercial (including electronic) transactions* (col. 1 lines 24-25). The basic functionality of fig. 1 is included and expanded in the disclosures of Talati. The functionality, regardless that it is prior art to Talati, is disclosed appropriately in Talati, and can be used in a rejection of applicant's invention. Additionally, applicant failed to address the other referenced disclosures of Talati that examiner considered pertinent to and identified in the rejection of this claim language (see section 5 above).

Therefore, examiner maintains the rejection.

Applicants argue, on pg. 5, Further, the present status of processing for payment processing for the trading is not disclosed by Talati. Rather, the e-mail message transmitted by the e-mail delivery system includes content 348 (Fig. 12) necessary to perform validation and authorization procedures at the credit authorities or transaction administrator and the transaction originating party. See col. 11, lines 29-37 of the reference. Thus, this information is not related to the present status of payment processing, but rather to authorization and validation with respect to the transaction being requested.

Examiner disagrees. Examiner maintains that the disclosure of Talati discloses the present status of processing for payment processing in the disclosure:

- (col. 6 lines 1-24; col. 7 lines 25-63):

-- *Upon receipt of the payment authorization request from the merchant 55, a CA processor 61 determines if the purchase order is authorized at step 100 by attending to the validity of the credit card number, merchant, amount of purchase, etc., and determine the client identity. The CA 60 transmits at step 165, the purchase order and the associated UTID 60 and purchase order data to the client processor 70. The UTID 60 and purchase order data are processed at the client 50 to determine if they are valid. The transmission from the CA 60 to the client 50 may be encoded using some type of virtual encryption key or any suitable encryption technology. The client processor 70 decodes the transmission (if encrypted) using knowledge of the virtual encryption key method between the client 50 and the CA 60 and compares the received unique transaction identifier to a unique transaction identifier list 100 of identifiers*

transmitted from the client at step 170 to determine whether to validate the transaction. The results of the validation is then forwarded to the CA 60. If the UTID 60 matches an entry within the client list 100 and the purchase order data checks out with what the client 50 expects, the requested transaction is identified as valid. If no match for the UTID is found or if the purchase order data is incorrect the requested transaction is identified as invalid or fraudulent.

-- *The CA 60 responds at step 180, with an authorization for the transaction if the client 50 transaction and credit limit have been approved by the CA processor 61 and if there is a confirmation by client 10 of transaction validity. If the transaction is not validated by either the CA 60 or client 50, the CA transmits a rejection of the requested transaction to the merchant at step 185, and the client is notified by the merchant of the rejection at step 190. Upon confirmation of the purchase order, the merchandise may be delivered to the client 50 and a credit card transaction can be completed between client 50 and merchant 55 at step 195.*

Additionally, Talati discloses information that includes the aspect of present status of processing. Also, Talati discloses a specific example for an electronic check transaction using e-mail in the disclosure:

- (see col. 9 lines 32-44) *In the case of an electronic check transaction, the mail contents 348 of the e-mail may comprise a number of items, depending on who the e-mail is from, and the data required to be extracted by the e-mail control system 300 of the receiving party. A transaction request from the originator 50 may include an account number, amount of the transaction, account reference, transaction reference,*

and originator's personal information. A response from a recipient 55 may include account number information, account references, transaction references, and recipient's personal information. An e-mail message from the transaction administrator 60 may contain query information for the originator to obtain validation.

The functionality of Talati discloses the claimed aspect of the present status of processing for payment processing for the trading.

Therefore, examiner maintains the rejection.

Applicants argue, on pg. 5-6, Talati is also silent with respect to the comparing of a trading identifier and an e-mail address included in the trading information and outputting a warning if they are not coincident, as recognized by the Examiner. In this regard, the Examiner relies upon Wiecha for disclosing that a purchaser can update the status of a PO manually after receiving acknowledgements, status, updates, etc. from vendors via fax, phone or mail. However, Wiecha does not disclose the status of the delivery of the product as in the present invention, which is received from the communication network through which the order for the product is transmitted. Therefore, the teaching and disclosure provided by Wiecha is limited with respect to suggesting the proposed modifications to Talati set forth by the Examiner to one having ordinary skill in the art.

Examiner disagrees. Talati does disclose (at col. 3 lines 20-48) *The identifier is compared to a listing of generated transaction identifiers at the client to confirm that the*

client authorized the transaction order with which the transaction identifier is associated.

This disclosure is additionally supported by Talati in the disclosures:

- (col. 2 lines 51-55) *The present invention overcomes the foregoing and other problems with a method and apparatus enabling verification and validation of original "electronic commerce transactions" between one or more originators, recipients, and transaction administrators (TA).*

- (col. 4 lines 52-6) The transaction request includes a unique transaction identifier (UTID) associated with the specific transaction request and originator identity (OID) to identify the originator 50 to a transaction administrator 60

- (col. 4 line 66 – col. 5 line 32)

-- *Recipient 55 first reviews the transaction request using a processor 75 and generates a request for authentication of the originator 50 using the OID, UTID and the information content of the transaction request such as an amount or document name at step 80 to the transaction administrator. The transaction administrator 60 first validates the identity of recipient 55 and then the OID at step 85. If the OID is invalid, the transaction administrator 60 notifies the recipient 55 of the invalidity and the transaction is denied. If the OID is valid, the transaction administrator 60 determines the originator associated with the OID, transmits the transaction request and associated data to the originator 50 and requests that the originator validate the transaction request containing the UTID at step 90. The transaction administrator 60 may also validate transaction amounts and credit limits at this time or upon receiving a response for the originator 50.*

-- *The originator 50 validates the transaction by comparing at step 95 the UTID with a list 100 generated by the processor 70 of the originator listing the UTID associated with each transaction generated by the originator and notifying the transaction administrator 60 of the results. The list 100 also includes the details of the transaction (amount; parties, etc.) associated with the UTID which must also be validated by the originator 50. The transaction is granted or rejected by the transaction administrator 60 based on the comparison results at step 105. If the originator 50 does not validate the transaction at step 95, the transaction administrator 60 rejects the transaction at step 110 which invalidates the transaction. The originator is notified at step 115 of the invalidation of the transaction. Upon receipt of the transaction validation status from the originator 50, the transaction administrator 60 validates the originator 50 and the transaction request at step 120, and notifies the recipient 55. The originator 50 and recipient 55 then complete the transaction at step 125.*

- col. 11 line 51 – col. 12 line 8:

-- *While the following is described with respect to an e-mail delivery system it should be realized that any type of delivery system would be useful. The originator 50 sends a document including a UTID and originator identifier (OID) to recipient 55 within an e-mail message at 430. Upon receipt of the e-mail message, the recipient 55 forwards another e-mail message to the transaction administrator (TA) 60 at 435. The e-mail message includes the OID, UTID and document name. The TA 60 authenticates the OID of originator so a message can be transmitted to the originator. If OID does not authorize, the TA 60 sends a negative response to recipient 55 at 450. Otherwise, the*

TA 60 requests originator 50 to validate the transaction via another e-mail message at 440. The e-mail message includes the UTID.

-- *The originator 50 validates transactions by comparing UTID with a list 100, including UTIDs generated by the originator along with associated information. The originator 50 sends a negative acknowledgment due to failure to match a UTID or associated information if the transaction is invalid or a positive acknowledgment if the transaction is valid and the UTID and associated information matches at 445. The TA 60 upon receipt of a positive or negative validation of the transaction with the associated UTID notifies the recipient of a positive status at 450.*

Examiner asserts that these disclosures encompass applicants' argument for comparing of a trading identifier and an e-mail address included in the trading information and outputting a warning if they are not coincident.

Therefore, examiner maintains the rejection.

Applicants argue, on pg. 6, *Despite the limited teaching provided by Wiecha, the Examiner states that the combination of Talati and Wiecha provides the functionality of receiving the status of the delivery of the product in the present invention (see page 33, line 20 - page 34, line 2 of the Office Action). However, this reason does not provide a proper motivation for combining the Talati and Wiecha references to suggest the modification to Talati required in the rejection. Therefore, the 35 U.S.C. § 103 rejection of the claims based on Talati and Wiecha should be withdrawn.*

Examiner disagrees. Prior art used in the above rejection includes:

- Talati (U.S. Patent No. 5903878) which discloses a method for providing validated electronic commerce transactions; and

- Wiecha (U.S. Patent No. 5870717) discloses a system that enables an employee who needs an item which must be ordered from a supplier to select the item from an electronic catalog displayed on a personal computer and submit an order for approval and processing directly, by-passing both the normal paper approvals and the manual verification of the order by the organization's Purchasing department.

Talati and Wiecha are both prior art that are classified in the business art under 705/26, the same as applicant's invention. Both disclose a system and method for purchasing/procuring items or products. Examiner maintains that both are compatible art that present features/aspects that are complementary and in the class of on-line purchasing of products, and associated actions necessary to complete the transaction. Therefore, it would have been obvious to one skilled in the art at the time the invention was made to combine these prior art references to disclose applicant's invention.

Examiner maintains the rejection.

Conclusion

9. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within

TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Forest O. Thompson Jr. whose telephone number is (703) 306-5449. The examiner can normally be reached on 6:30-3:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wynn Coggins can be reached on (703) 308-1344. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 872-9326 for regular communications and (703) 872-9327 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 305-3900.

JEFFREY A. SMITH
PRIMARY EXAMINER

F. Thompson
October 22, 2002